

UNIVERSITY OF CALIFORNIA, MERCED
OFFICIAL PERSONNEL FILE LOCAL PROCEDURES

RESPONSIBLE OFFICIAL : Assistant Vice Chancellor Human Resources
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REFERENCES AND RESOURCES:

The following procedure supplements UC policy PPSM 80 Staff Personnel Records. The full policy is available at:

<http://policy.ucop.edu/doc/4010419/PPSM-80>

SUMMARY OF POLICY:

An employee's personnel records shall contain only material which is necessary and relevant to the administration of the staff personnel program. This procedure outlines the contents of the personnel files and access to personnel files.

OFFICIAL PERSONNEL FILE:

The Human Resources Department is the office of record for Professional and Support Staff and Management and Senior Professional Staff personnel files.

The official personnel file should contain:

- Recruitment documents: including job posting, cover letter, resume and application.
- Employment documents: including signed offer letter, signed job description, changes in employment status, layoff letter, medical separation letter, resignation letter, letter of termination, separation agreement.
- Performance documents: including performance reviews, letters of commendation, performance improvement plans and discipline actions.
- Classification/Compensation documents: including reclassification adjustments, compensation adjustments, stipend decisions, leaves of absence.

- Miscellaneous documents: Certificates, licenses, emergency contact information.

The official personnel file shall not include the following:

- Documents used to verify employment eligibility
- Documentation of workplace injuries
- Documents identifying employees race, nationality, or ethnic background
- Information regarding accommodations made under ADA
- Medical-Health documents. Including information for certification under FMLA, CFRA or PDA
- Pre-employment test results

PROCEDURES:

I. PERSONNEL DOCUMENTS

Each manager is responsible for ensuring that Human Resources receive all completed personnel documents to be placed in the employee's personnel file. Copies of delivered disciplinary action letters and related proofs of service should be placed in the employee's file. Any comments written by the employee regarding such letters are placed in the employee's file. Employee comments do not require the University to change or alter the letters or the actions indicated by the letters.

With the exception of performance evaluations, documents such as letters of disciplinary action or other documents concerning conduct or work performance, counseling memoranda or written records of discussions will, upon the written request of the employee, be removed from the employee's personnel file(s) if there have been no other disciplinary actions of the same or a similar kind for a period of two years. Requests must be submitted to Labor/Employee Relations.

II. CONFIDENTIALITY

All staff personnel records should be maintained in a secured and confidential location.

III. ACCESS TO PERSONNEL RECORDS

Access to an employee's personnel file should be restricted to those with supervisory responsibilities for the specific employee and/or those with job duties directly related to the administration of staff personnel program.

An employee can request to view or have a copy of their personnel file. The request must be made in writing to Staff Employment Services. Different personnel policies and collective bargaining agreements have varying requirements about access to files.

- For non-represented staff: Within 60 calendar days from receipt of a request for records that are geographically dispersed, inactive, or in storage and within thirty calendar days from receipt of a request for other records, an employee shall be provided a copy of the employee's own personnel records. There will be no charge for the first copy. However, records protected by recognized legal privilege and records exempted from disclosure by the Information Practices Act may be withheld.
- For represented staff see the appropriate contract language.

Hiring managers are strongly encouraged to view the official personnel file of a University employee who is a finalist for a position. Hiring managers may also request to see the personnel file of a UC employee working at different UC locations as part of their background and reference checking of finalists for their positions. The hiring department must make the request for personnel file review in writing to Human Resources. The file will be made available for review in the Human Resources office but no copies will be allowed.

- **ACCESS TO RECORDS BY PUBLIC**

Public Information/Subpoena. Any requests for access to personnel files or information about staff personnel from persons outside the department or University should be directed to the Public Records Information Coordinator. For more information, review [Business & Finance Bulletin, RMP-8, and Legal Requirements on Privacy of and Access to Information](#).

- **Verification of employment.** A written verification of employment may be obtained on the web at [At Your Service](#) or from Human Resources by submitting a written request. A signed employee release is required.